

04/24/01
JC985 U.S. PTO

04-25-01

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Please type a plus sign (+) inside this box → ⊕

PTO/SB/05 (03-01)
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1033 U.S. PTO
09/841388
04/24/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 11252-005
First Inventor Adatia
Title Automated Securities Trade
Execution System and Method
Express Mail Label No. EL100650692US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 15]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
- Oath or Declaration [Total Pages]
 - ☐ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee) ☒
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.:

Prior application information:

Examiner

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label [REDACTED] or ☒ Correspondence address below

Name Steven J. Gelman
Address Klehr, Harrison, Harvey, Branzburg & Ellers LLP
260 South Broad Street
City Philadelphia State PA Zip Code 19102
Country USA Telephone 215-569-4085 Fax 215-568-6603

Name (Print/Type) Steven J. Gelman Registration No. (Attorney/Agent) 41,034
Signature [Signature] Date 4/24/01

Burden Hour Statement: This form is estimated to take 02 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 710

Complete if Known

Application Number

Filing Date

First Named Inventor

Adatia

Examiner Name

Group Art Unit

Attorney Docket No.

11252-005

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

501-555

Deposit
Account
Name

Klehr, Harrison

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check

☐ Credit card

☐ Money
Order

☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

710

SUBTOTAL (1) (\$ 710

2. EXTRA CLAIM FEES

Total Claims -20** = X =
Independent Claims -3** = X =
Multiple Dependent =

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 ** Reissue independent claims
over original patent

110 18 210 9 ** Reissue claims in excess of 20
and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Small
Entity Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$) Code (\$)

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or
cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for *ex parte* reexamination

112 920* 112 920* Requesting publication of SIR prior to
Examiner action

113 1,840* 113 1,840* Requesting publication of SIR after
Examiner action

115 110 215 55 Extension for reply within first month

116 390 216 195 Extension for reply within second month

117 890 217 445 Extension for reply within third month

118 1,390 218 695 Extension for reply within fourth month

128 1,890 228 945 Extension for reply within fifth month

119 310 219 155 Notice of Appeal

120 310 220 155 Filing a brief in support of an appeal

121 270 221 135 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,240 241 620 Petition to revive - unintentional

142 1,240 242 620 Utility issue fee (or reissue)

143 440 243 220 Design issue fee

144 600 244 300 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Processing fee under 37 CFR 1.17(q)

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per
property (times number of properties)

146 710 246 355 Filing a submission after final rejection
(37 CFR § 1.129(a))

149 710 249 355 For each additional invention to be
examined (37 CFR § 1.129(b))

179 710 279 355 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination
of a design application

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print/Type)

Steven J. Gelman

Registration No.

41,034

Complete (if applicable)

Telephone

215-569-4085

Signature

Steven J. Gelman

Date

4/24/00

WARNING: Information on this form may become public. Credit card information should not
be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on
the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC
20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

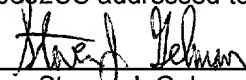
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: Asif Adatia

For: AUTOMATED SECURITIES TRADE EXECUTION SYSTEM AND METHOD

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on April 24, 2001 in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL100650692US addressed to the: Assistant Commissioner for Patents, Washington, DC 20231.


Steven J. Gelman

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

Type of Application:

- ☒ Utility (non-provisional)
☐ Divisional
☐ Continuation
☐ Continuation-In-Part (CIP)

Incorporation by Reference:

- ☐ The entire disclosure of the prior application, **from which a copy of the Oath or Declaration is supplied**, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. (37 CFR § 1.63(d))

Benefit of Prior U.S. Application(s) Claimed (37 CFR § 1.78):

- ☐ PLEASE ENTER THE FOLLOWING AMENDMENT TO THE SPECIFICATION UNDER THE CROSS REFERENCE TO RELATED APPLICATIONS SECTION:

- ☐ This application claims the benefit of **U.S. Provisional Application(s) No(s)**.
60/_____, filed on _____.
☐ This application is a ☐ **continuation** ☐ **continuation-in-part** ☐ **divisional**
of copending **U.S. Application Serial No(s)**. _____, filed on _____.
☐ **International Application No.** _____ filed on _____ and which
designated the U.S.

Benefit of Prior Foreign Application(s):

- ☐ Priority is claimed under 35 U.S.C. § 119 of Application No. _____ filed on
in _____ [COUNTRY].

☐ A Certified Copy of each of the following application(s) for which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE

☐ is enclosed.

☐ has been filed in prior Application Serial No. 0_ / _____, which was filed on _____.

Application Elements Enclosed:

☒ 12 Pages of Specification

☒ 2 Pages of Claims

☒ 7 Sheets of Drawings

☐ Formal

☒ Informal

☐ Petition to Accept Photographs (37 CFR § 1.84(b)).

☒ 1 Page(s) of Abstract of the Disclosure

Accompanying Application Parts:

☐ Associate Power of Attorney

☐ Preliminary Amendment

☐ Information Disclosure Statement

☐ Form PTO 1449 (PTO/SB/08A, 08B)

☐ Copies of Cited References

☐ Nucleotide and/or Amino Acid Sequence Submission (37 CFR §§ 1.821-1.825).

☐ Microfiche (Appendix) (37 CFR § 1.96(c)).

☒ Return Receipt Postcard (itemized)

Declaration or Oath and Power of Attorney:

☐ New (executed original or copy).

☒ New (unexecuted).

☐ Copy from prior application (37 CFR § 1.63(d))

Deletion of Inventor(s) (37 CFR § 1.63(d)(2), 1.33(b)):

☐ Signed Statement deleting inventor(s) named in the prior application is attached.

Assignment:

☐ An executed Assignment of the invention to:

Small Entity Statements:

☐ Statement(s) that this is a filing by a small entity under 37 §§ CFR 1.9 and 1.27 attached.

☐ Status as a small entity was claimed in prior U.S. Application Serial No. _____ filed on _____.

FILED IN 11252-005

Status is still proper and desirable.

☐ A copy of the statement in prior application is enclosed.

The filing fee has been calculated as shown below:

	NO. FILED	NO. EXTRA	SMALL ENTITY			OTHER THAN SMALL ENTITY	
			RATE	FEE	OR	RATE	FEE
BASIC FEE				\$355	OR		\$710
TOTAL CLAIMS	[13] - 20 =	0	x 9 =	\$	OR	x18 =	\$
INDEP. CLAIMS	[2] - 3 =	0	x40 =	\$	OR	x80 =	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM(S)			+135 =	\$	OR	+270 =	\$
		TOTAL		\$355	OR		\$710

Method of Payment of Fees:

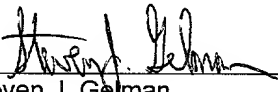
- ☐ No filing fee is to be paid at this time.
- ☐ Please charge my Deposit Account No. 501-555 the amount of \$_____. This transmittal is attached in duplicate.
- ☒ The filing fee of \$ 710 is enclosed. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.

Authorization to Charge Additional Fees:

NOTE: if no fees are to be paid on filing, the following items should NOT be completed.

- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to Deposit Account No. 501-555. **This sheet is provided in duplicate.**
- ☐ Filing fees (37 CFR § 1.16(a), (f) or (g)).
- ☒ Presentation of extra claims (37 CFR § 1.16(b), (c) and (d)).
- ☐ Surcharge for filing the basic filing fee and/or declaration later than the filing date of the application (37 CFR § 1.16(e)).
- ☐ 37 CFR §§ 1.17(a)(1)-(5) (Extension fees pursuant to 37 CFR § 1.136(a)).
- ☐ Application processing fees (37 CFR § 1.17).
- ☐ 37 CFR § 1.18 (Issue Fee at or before mailing of Notice of Allowance pursuant to 37 CFR 1.311(b)).

Date: April 24, 2001


 Steven J. Gelman
 Registration No. 41,034

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 Philadelphia, PA 19102-5003
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